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Attorney Docket No. TONG 2
[D8143-00300A]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Tong

Serial No.: 10/015,477 Group Art Unit No.: not yet known

Filed: December 13, 2001 Examiner: not yet known

For: Opto-Electronic Phase-Locked Loop with Microwave Mixing for Clock Recovery

Certification Under 37 CFR 1.8

I hereby certify that this paper or fee (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail under 37 CFR 1.8 on the date indicated below and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: March 18, 2002

Elizabeth Orleman
Elizabeth Orleman

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Dear Sir:

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR § 1.56 in connection with the above-identified application, which statement is being filed:

- Together with the present application.
- Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. [37 CFR § 1.97(b)]

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- [] After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- [] After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

- [X] No separate requirements are needed.
- [X] No additional fee is required.
- [] **Fee Under 37 CFR § 1.97(c)**

The fee of \$180.00 for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

- [] **Fee Under 37 CFR § 1.97(d)**

The fee of \$180.00 for submission of an information disclosure statement under § 1.97(d) set forth in § 1.17(p) accompanies this statement.

- [] **Certification Under 37 CFR § 1.97(e)**

Each item of information contained in this statement was either

- (1) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- (2) not known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement.

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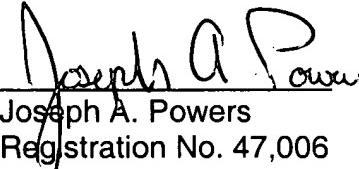
Provision of Copies of References

- [X] A copy of each of the references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.
- [] A partial translation of Reference ____ is enclosed herewith and forms a part hereof.
- [] A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- [] A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted

- [] In accordance with § 1.98(d), copies of some or all of the referenced listed on the attached Form PTO-1449 (modified) are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in prior Application Serial No. _____, filed on _____; for which a claim for priority under 35 U.S.C. § 120 has been made in the instant application.
- [X] The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to **Deposit Account No. 04-1679**. A duplicate copy of this transmittal is attached.

Respectfully submitted,



Joseph A. Powers
Registration No. 47,006

Date: March 18, 2002

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Substitute for form 1449A/PTO				Complete if Known	
				Application Number	10/015,477
				Filing Date	12/13/2001
				First Named Inventor	Tong
				Group Art Unit	
				Examiner Name	
Sheet 1 of 2	1	of	2	Attorney Docket Number	TONG 2

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
	A	US- 6,178,022	01-23-2001	Yoneyama	
	B	US- 5,894,247	04-13-1999	Yoshida et al.	
	C	US- 5,590,143	13-31-1996	Takara et al.	
	D	US- 5,987,040	11-16-1999	Nesset et al.	
	E	US- 5,774,246	06-30-1998	Bülow	
	F	US- 5,594,583	01-14-1997	Devaux	
		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T ⁶

Examiner	Date
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¹Unique citation designation number (optional). ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emporer must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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<p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(use as many sheets as necessary)</p> <p><i>SEARCHED</i> <i>INDEXED</i> <i>MAILED</i> <i>APR 25 2002</i></p>		Complete if Known	
		Application Number	10/015,477
		Filing Date	12/13/2001
		First Named Inventor	Tong
		Group Art Unit	
		Examiner Name	
		Attorney Docket Number	TONG 2
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published	
G		TONG, DENNIS T.K et al., Optoelectronic "Phase-Locked Loop with Balanced Photodetection for Clock Recovery in High-Speed Optical Time-Division-Multiplexed Systems," IEEE Photonics Technology Letters, Vol. 12, No. 8, August 2000, pp. 1064-1066	
H		TONG, DENNIS T.K et al., "High Speed Clock Recovery Using an Optoelectronic Phase Locked Loop Implemented with Balanced Photodetection," 1999 IEEE LEOS 12 th Annual Meeting Conference Proceedings, November 1999, Volume 1, pp. 349-350	
<p>Examiner Signature</p>		<p>Date Considered</p>	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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